
Chapter 5**CONTRACTS MANAGEMENT**

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5.1 Terminology

When used in this policy, the words defined in this Section shall have the meanings set forth below unless the context in which they are used clearly requires a different meaning or a different definition as prescribed for a particular part or provision.

Amendment – Any formal, legal document which effects any change to an established contractual agreement.

BA-22 – Budget form that provides funding and budgetary information affecting the contract as well as the agency's overall contract budget.

Bid Specs – Document prepared and provided by Facility Planning and Control derived from the information submitted to them by YS on an RL-2B form. This document describes and outlines the space being requested by the agency, defines the responsibilities of the lessor and YS, etc.

Budget Unit Head - The appropriate administrators who authorize the contract (Deputy Secretary, Undersecretary, Deputy Undersecretary, Assistant Secretary, Deputy Assistant Secretaries, and all Directors).

Business – Any corporation, partnership, individual, sole proprietorship, joint stock company, joint venture, or any other legal entity through which business is conducted.

Case-by-Case Services – Personal, professional or social services arranged on an individual basis (i.e., emergency medical care, psychiatric evaluations) do not require a contract as provided by LA R.S. 39:1482(F).

Central Office – The centralized administrative offices of Youth Services.

Competitive Bid – A sealed bid opening process in which the receipt of bids are protected from inspection prior to bid opening.

Competitive Negotiation – Negotiate for a contract through a Request for Proposal (RFP) process or any other similar competitive selection process.

Compliance – To conform to the terms and conditions of a contract.

Consulting Services - Work, other than professional, personal, or social service, rendered by either individuals or firms who possess specialized knowledge, experience, and expertise to investigate assigned problems or projects and to provide counsel, review, design, development, analysis, or advice in formulating or implementing programs or services, or improvements in programs or services, including but not limited to such areas as management, personnel, finance, accounting, planning, data processing, and advertising contracts, except for printing associated therewith.

The term “consulting service” includes the procurement of supplies and services by a contractor without the necessity of complying with provisions of the Louisiana Procurement Code when such supplies and services are merely ancillary to the provision of consulting services under a contingency fee arrangement, even though the procurement of such supplies or services directly by a governmental body would require compliance with the Louisiana Procurement Code. Supplies or services ancillary to the provision of consulting services are those supplies or services which assist the contractor in fulfilling the objective of his contract when the cost for such supplies and services is less than the cost of providing consulting services, as determined by the using agency.

Consulting Service contracts in excess of \$49,999 must be procured through a Request for Proposal process in accordance with LA R.S. 39:1503. Consulting Service contracts with a total maximum amount of \$140,000 or more may be entered into with the assistance of a procurement support team.

Contract – Every type of state agreement, including orders and documents purporting to represent grants, which are for the purchase or disposal of supplies, services, construction, or any other item. It includes awards and notices of award; contracts of a fixed price, cost, cost-plus-a-fixed-fee, or incentive type; contracts providing for the issuance of job or task orders, and letter contracts. It also includes contract modifications with respect to any of the foregoing.

Contract Performance Coordinator – For professional, personal and consulting services: the administrative officer of the program designated by the Budget Unit Head to monitor contractor’s performance, verify hours worked and track contract monetary limits. For social services: a person designated by the Budget Unit Head to assist the Central Office with contract development, review, negotiation and coordination of performance and technical compliance. The Contract Performance Coordinator for all contracts shall be responsible for monitoring the contract and for final acceptance of the contract deliverables.

Contractor – Any person having a contract with a governmental body.

Cooperative Endeavor – Any form of economic development assistance between and among the state, its local governmental subdivisions, political corporations, public benefit corporations, the United States or its agencies, or any public or private association, corporation, or individual. The term “cooperative endeavor” shall include but not be limited to cooperative financing, cooperative development, or any other form of cooperative economic development activity.

Cost-Reimbursement Contract - A cost-reimbursement contract is one in which the contractor receives no fee and is reimbursed for an agreed portion of its incurred allocable, allowable and reasonable costs.

Data – Recorded information, regardless of form or characteristics.

Day Program – A non-residential program of structured activities which provides enhanced community supervision/support for youth. Services provided may include education, counseling, recreation, and job search skills.

Department – For the purposes of this manual, Department means the Department of Public Safety and Corrections - Youth Services.

Designee - A duly authorized representative of a person holding a superior position.

Diversion – A program that gives a first time youth of lesser crimes an opportunity to perform community service, to make restitution for damage due to the crime, obtain treatment for alcohol or drug problems and/or counseling for antisocial or mentally unstable conduct.

Electronic Monitoring Program – Program which provides high level of supervision to youth while in their own homes by means of electronic surveillance.

Emergency Procurement – A situation which creates a threat to public health, welfare or safety such as may arise by reasons of floods, epidemics, riots, equipment failures, or such other reasons as may be proclaimed by the Commissioner of Administration. The existence of such condition creates an immediate and serious need for supplies, services, or major repairs that cannot be met through normal procurement methods and the lack of which would seriously threaten: a) the functioning of Louisiana government; b) the preservation or protection of property; or, c) the health or safety of any person.

An emergency situation must be determined in writing by the Director of Contractual Review, Division of Administration, or their designee. The using agency which requests an emergency procurement must indicate in writing the basis of the emergency.

Employee – An individual drawing a salary from a governmental body, whether elected or not, and any non-salaried individual performing personal services for any governmental body.

Equipment - Tangible non-consumable movable property with an acquisition cost of \$1,000 or more and having a useful life of more than one year (for contracts only).

Evening Program – After-School/Evening supervisory program which provides community supervision and structured services for youth. Services may include educational, counseling, recreation and job search skills.

Extract of Lease/Option/Amendment – One-page form prepared by Facility Planning and Control that summarizes the terms of the lease, option and/or amendment. This one-page document is frequently used as a recordation tool by the lessors.

Facility Planning and Control – This is the Division of Administration, Facility Planning and Control Section.

Fixed-Price Contract - The fixed-price contract is characterized by determining a total price, which is payable upon the completion of the service. This type of contract may be used in conducting a program evaluation and upon delivery of the final report, the contractor is paid the full fee or price. YS may request detailed financial data necessary to aid in contract negotiations.

Foster Care – Program which provides long term care to juveniles in the home of professionally trained surrogate parents.

Governmental Body - Any department, commission, council, board, office, bureau, committee, institution, agency, government, corporation, or other establishment of the executive branch of this state.

Governmental Entity – Any governmental unit which is not included in the definition of “governmental body.”

Grant – The furnishing by the state of support, whether financial or otherwise, to any person for assistance in carrying out a program authorized by law. It does not include an award whose primary purpose is to procure an end product, whether in the form of supplies, services, or construction. An agreement resulting from such an award is not a grant but a procurement contract.

Halfway House - Program which provides structured residential services and serves as a transition for youth between institutional or residential placement and return to the community.

In-Home Program – Program which provides family and/or individual focused supervision and/or counseling services to youth and/or their families in their home.

Interagency Agreement – Any contract in which each of the parties thereto is a State governmental body.

Intergovernmental Agreement – Any contract in which one of the parties is a State agency and the other party is a non-State governmental entity (i.e., federal agency or local governmental agency).

Lease – A legally binding contractual agreement between a state agency and a private building owner to house a section of YS for a specified period of time for a specified sum of money and defining specific responsibilities of each.

Lessee – The Department leasing space from a private building owner.

Lessor – A building owner providing space to YS by means of a lease agreement.

Monitor – A YS employee assigned to review program effectiveness, compliance with contract provisions and accepted standards and public policy or state law.

Multi-Year Contracts – Contracts which exceed 12 months. Personal, professional, consulting and social service contracts shall not exceed 3 years in accordance with LA R.S. 39:1514. Except, however, contracts with non-state providers for services to juvenile youth assigned to the Department of Public Safety and Corrections, and/or to their families, shall not exceed a term of five years without renewal and renegotiation in accordance with LA 15:1087. BA-22 forms are to be prepared and submitted to the DOA/Office of Contractual Review for each year of a multi-year contract.

Negotiation - The formulation of a contractual relationship without the necessity of competitive bidding or by a request for proposal process as set forth in this policy and in La. R.S. 39:1494-96.

Non-compliance – Failure to meet the terms of the contract.

OCR – Office of Contractual Review, Division of Administration. OCR is used throughout this manual to distinguish between YS’ Contracts Management Division and the Division of Administration.

Performance - To function in accordance with the service requirements of the contract.

Performance Compliance - Conformance to YS’ programmatic expectations of the effectiveness and efficiency of the service delivery as defined by contract performance standards (e.g., staff qualifications, housing, security).

Performance Evaluation – A final report on the contract which shall include an evaluation of contract performance and an assessment of the utility of the final product. In accordance with LA R.S. 39:1500(A), this report shall be delivered to the Director of the Office of Contractual Review within sixty days after completion of performance and shall be retained in the official contract file. For contracts of \$250,000 or greater, the performance evaluation also must be submitted to the Legislative Auditor.

Person – Any business, individual, union, committee, club or other organization or group of individuals.

Personal Service – Work rendered by individuals which requires use of creative or artistic skills, such as but not limited to graphic artists, sculptors, musicians, photographers, and writers, or which requires use of highly technical or unique individual skills or talents, such as but not limited to paramedicals, therapists, handwriting analysts, foreign representatives, and expert witnesses for adjudications or other court proceedings. A “foreign representative” shall mean a person in a foreign country whose education and experience qualify such person to represent the state in such foreign country. Contracts for personal services may be entered into without a request for proposal process regardless of the amount.

Plans – Floor plans of space to be leased.

Positions – Any position occupying space in an office regardless of type. This includes classified and unclassified paid employees, student workers, interns, volunteer workers, etc.

Prevention and Diversion Program – Program which provides non-residential crime prevention services and/or diversion programs within the community. Services may include education, recreation and family/individual counseling.

Procurement – The purchasing, buying, renting, leasing, or otherwise obtaining of any professional, personal, consulting or social service, real estate leasing or any combination of these services. It also includes all functions that pertain to the obtaining of service, including description of requirements, selection and solicitation of sources, preparation, award of contract, and all phases of contract administration.

Professional Service - Work rendered by an independent contractor who has a professed knowledge of some department of learning or science used by its practical application to the affairs of others or in the practice of any art founded on it, which independent contractor shall include, but not be limited to lawyers, doctors, dentists, psychologists, certified advanced practice nurses, veterinarians, architects, engineers, land surveyors, landscape architects, accountants, actuaries, and claims adjusters.

For contracts with a total compensation of \$50,000 or more, the definition of “professional service” shall be limited lawyers, doctors, dentists, psychologists, certified advanced practice nurses, veterinarians, architects, engineers, land surveyors, landscape architects, accountants, actuaries, claims adjusters, and any other profession that may be added by regulations adopted by the Office of Contractual Review of the Division of Administration.

Program – A defined, specific scope of services to be provided.

Programmatic Compliance – Documentation of conformance to the provision of services required by the contract.

Regional Office – A probation and parole office of Youth Services.

Regions:

Region 1- Jefferson, Orleans, Plaquemines, St. Bernard

Region 2 - E. Baton Rouge, E. Feliciana, Iberville, W. Baton Rouge, Pointe Coupee, W. Feliciana

Region 3 - Livingston, St. Helena, St. Tammany, Tangipahoa, Washington

Region 4 – Ascension, Assumption, Lafourche, St. Charles, St. James, St. John the Baptist, Terrebonne

Region 5- Acadia, Evangeline, Iberia, Lafayette, St. Landry, St. Martin, St. Mary, Vermillion

Region 6 – Allen, Beauregard, Calcasieu, Cameron, Jefferson Davis

Region 7 – Avoyelles, Catahoula, Concordia, Grant, LaSalle, Rapides, Vernon, Winn

Region 8A – Bienville, Bossier, Caddo, Claiborne, Jackson, Webster

Region 8B – DeSoto, Natchitoches, Red River, Sabine
Region 9A – Caldwell, Lincoln, Morehouse, Ouachita, Union
Region 9B – E. Carroll, Franklin, Madison, Richland, Tensas, W. Carroll

Renewal Option – An option written into a lease agreement allowing the extension of the lease for a specified period of time.

Request for Proposal – An official solicitation for proposals to supply any service that would be subject to the provisions of La. R.S. 39-1481-1526 and this manual.

Residential Facility – Any place, facility or home operated by an institution, society, provider, corporation, person or persons or any other group to provide full-time care (24 hour residential care) for 4 or more children under the age of 18 years who are not related to the operators, and whose parents or guardians are not residents of the same facility, with or without transfer of custody.

RL-2A – Request for Lease form to be used to request the lease of space less than 5,000 square feet. (See Exhibit 5.2)

RL-2B – Request for Lease form to be used to request the lease of space more than 5,000 square feet. (See Exhibit 5.3)

Services – The rendering, by a contractor, of time and effort, rather than the furnishing of a specific end product, other than reports which are merely incidental to the required performance of service.

Shelter Program - Program which provides short-term emergency residential placement for juveniles in need of care who are awaiting a more long-term placement.

Small Purchases – Small purchases of professional, personal, consulting and social services are defined as purchases not exceeding twenty thousand dollars, which may be made in accordance with small purchase procedures promulgated by the Office of Contractual Review. YS has delegation of authority from the Office of Contractual Review to approve contracts of \$20,000 and less.

Social Service - Work rendered by a person, firm, corporation, governmental body or governmental entity in furtherance of the general welfare of the citizens of Louisiana, including, but not limited to:

- Rehabilitation and Health Support
- Habilitation and Socialization
- Protection for Adults and Children
- Improvement of Living Conditions and Health
- Evaluation, Testing and Remedial Educational Services for Exceptional Handicapped or Learning Disable Non-public School Students

Contracts for social services in excess of \$249,999 must be procured through a Request for Proposal process.

Sole Source Procurement – A contract may be awarded for a required supply, service or major repair without competition when, under regulations, the chief procurement officer or his designee above the level of procurement officer determines in writing that there is only one source for the required supply, service, or major repair item.

Standard Operating Procedures – Procedures adopted by YS for contractors that establish guidelines for services to youth who are in the care and custody of YS. Where YS determines that any area of contractor's operation is not covered by applicable laws, regulations or standards, YS will establish standard operating procedures which will be used to measure contract performance.

Subcontractor – Individual or firm who assumes some of the obligations of the primary contractor via a contract. YS does not have direct contractual relationship with the individual or firm performing that portion of the program. Subcontracts must be approved in writing by the Deputy Secretary or designee. All subcontracts shall be subject to the same clauses required by law and by the primary contract.

Substance Abuse –A pattern of substance (drug) use leading to significant problems or distress such as failure to attend school, substance use in dangerous situations (driving a car), substance-related legal problems, or continued substance use that interferes with friendships and or family relationships.

Technical Compliance - Formal documentation of conformance to procedural and regulatory requirements of the contract.

Termination – Ending a contract/lease agreement prior to the established ending date. This must be done in writing and usually requires 30 days advance notice of contract termination.

Trackers Program – Intensive supervisory program which provides highly structured surveillance and support services to youth adjudicated delinquent.

Training and Staff Development - Any type of financial agreement for instruction, education or coaching of employees of YS or employees of contracted providers (if YS is a party to the agreement). This includes agreements with experts or professionals who possess specialized knowledge and experience or skills whether they are independent vendors, consultants or attached to schools or universities. No contract is required if staff attends training outside staff offices in a facility provided by a vendor and the training is available to the public.

Unit-Cost Contract - A unit-cost contract is one in which the contractor is paid by the unit of service. A unit cost is established in the contract and the contractor simply bills YS for the number of units provided. A contractor is paid rather than reimbursed because "paid" indicates that the contractor can earn a profit and, if YS accepts the offered price,

it accepts the contractor's profit. In general, audits are not imposed on unit-cost contracts. YS may request detailed financial data necessary to aid in contract negotiations.

5.2 Contracts Management Overview

5.2.1 Contracts Legislation/Regulations:

LA R.S. 33:9020 et. al. – Cooperative Economic Development (Cooperative Endeavors)

LA R.S. 39:1481 et. al. – Professional, Personal, Consulting and Social Services Procurement

LA R.S. 39:1641 et. al. – Acquisition of Housing Space

LAC 34, Part III, Chapter 5 – Rental and Lease Procedure

LAC 34, Part V. Procurement of Professional, Personal, Consulting and Social Services

YS Policy A.4.1, Contracts Management

5.2.2 Purpose

Contracts Management is responsible for processing social, personal, professional, and consulting services contracts; cooperative endeavor agreements; and real estate leases.

These policies and procedures apply to all Budget Unit Heads in need of contractual services. This manual was developed to:

1. Convey contract policies and objectives to all employees;
2. Outline practices and procedures to be followed;
3. Gain benefits from standardization and centralization; and
4. Ensure uniform conduct with respect to contracts.

This contract manual contains instructions regarding basic policy, procedure and practice for the procurement of contractual services, and leases. This manual was created with the intent of providing operating instructions but does not replace management in determining needs. The term “contract” is used throughout this document; however, these same procedures apply to any amendment to a contract.

These instructions will provide guidance to personnel who participate in the actions and decisions relating to procurement of services and for all other personnel who are involved in the process whether by dealing directly with the contractor, monitoring the contractor's performance or payment of services.

The first step in obtaining a contract is to identify the type of service being proposed and the category in which it fits. The basic types of contracts are: Personal Services, Professional Services, Consulting Services, Social Services, Interagency Agreements, Intergovernmental Agreements, Cooperative Endeavor Agreements and Leases.

5.2.3 Common Types of Services Contracted

DPS&C-YS routinely contracts the following types of social services:

- Child Residential; Maternity/Parenting; Child Placement: Any place, facility or home operated by any institution, society, agency, corporation, person or persons or any other group to provide full-time care (24 hour residential care) for 4 or more children under the age of 18 years who are not related to the operators, and whose parents or guardians are not residents of the same facility, with or without transfer of custody.
- Community Reintegration: Services that prepare juveniles placed out of home for reentry into the community by establishing the necessary collaborative arrangements with the community to ensure the delivery of prescribed services and supervision. A comprehensive reintegration process typically begins after sentencing, continues through physical/legal custody of youth and into the period of release back to the community. It requires the creation of a seamless set of systems across formal and informal social control networks as well as the creation of a continuum of community services to prevent the reoccurrence of antisocial behavior.
- Counseling Programs: Programs provided by community agencies, organizations, local courts, individuals or groups that are designed to intervene with youth and families through counseling, mentoring, monitoring, education, etc. when the youth is in danger of being removed from the home or becoming seriously involved in the juvenile justice system due to inappropriate or criminal behavior.
- Day Treatment Programs: Highly structured, community-based, nonresidential programs for juvenile youth. Generally, programs are provided at the facility during the day and/or evening at least 5 days a week. Special weekend activities may also be conducted. Treatment services in day treatment facilities may include individual and group counseling, recreation, education, vocational training, employment counseling, education, life skills and cognitive skills training, substance abuse treatment, and community resource referrals.
- Drug Court Programs: Programs provided by local courts, often in collaboration with community agencies that are designed to intervene with youth and families through counseling, mentoring, monitoring, education, etc. when the youth is in danger of being removed from the home or becoming seriously involved in the juvenile justice system due to inappropriate or criminal behavior.
- Education: School curriculums designed to teach students in different areas of learning.
- Job Training: Provides on the job training to various educational programs.

- Medical/Dental/Mental Health – YS has contracts with the Louisiana State University Health Sciences Center to provide most medical, dental and mental health services to youth at the secure facilities.
- Mentor/Tracker: The mentor/tracker program is designed to allow juvenile youth to remain in their homes and engage in typical adolescent activities such as attending school, maintaining a job, etc. while being closely monitored (either electronically and/or by frequent staff contacts) to ensure that they are complying with the conditions set by the court. In addition, the youth are paired with an adult mentor who makes daily contact and is responsible for supporting the development of healthy individuals by addressing the need for positive adult contact and, thereby, reducing risk factors (e.g., early and persistent antisocial behavior, alienation, family management problems, and lack of commitment to school) and enhancing protective factors (e.g., healthy beliefs, opportunities for involvement, and social and material reinforcement for appropriate behavior).
- Prevention/Diversion Program: Programs provided by community agencies, organizations, individuals or groups that are designed to intervene with youth and families through counseling, mentoring, monitoring, education, etc. when the youth is in danger of being removed from the home or becoming seriously involved in the juvenile justice system due to inappropriate or criminal behavior.
- Shelter: A person, group, or organization operating one or more facilities established for the purpose of providing 24-hour emergency shelter care on a regular basis to children under age 18. Children are considered candidates for emergency shelter care when they are in danger of abuse or severe neglect or when they are abandoned either purposely or by events beyond the control of their caretaker. Children shall not be retained more than 45 days in emergency shelter care. There can be two renewals of 30 days each by written agreement between the emergency shelter and the placing party.
- Transitional Youth Residential Services: Any communal or supervised independent living arrangement existing for the primary purpose of providing care for at least 2 but less than 20 youth living in individualized apartments units, alone or jointly with other youth, under the supervision, custody or control, directly or indirectly, of the state.

YS also routinely contracts the following types of professional, personal and consulting services:

- Arts Instructors for Youth
- Consultants
- Pharmacists
- Psychologists
- Public Relations
- Social Workers
- Staff Development

5.2.4 Cooperative Endeavors

Cooperative endeavors are defined as any form of economic development assistance between and among the state, its local governmental subdivisions, political corporations, public benefit corporations, the United States or its agencies, or any public or private association, corporation, or individual. The term “cooperative endeavor” shall include but not be limited to cooperative financing, cooperative development, or any other form of cooperative economic development activity.

Cooperative endeavor agreements require a special format provided by OCR and are only utilized for line item appropriation agreements.

5.2.5 Leases

Contracts Management also obtains and monitors building leases for YS. This entails the acquisition of space in privately-owned buildings to house offices of YS in areas where there is no adequate state-owned space available. These policies and procedures would also apply for the leasing of warehouse space should the need arise.

All matters pertaining to the acquisition and leasing of space for YS are to be handled through the Contracts Management Section, and then through the Division of Administration, Facility Planning and Control Section.

5.3 Contracts Management Procedures

5.3.1 Contracts and Cooperative Endeavor Agreements

5.3.1.1 Contracts and Cooperative Endeavor Agreements Not Requiring a Request For Proposal

<u>Responsibility</u>	<u>Action</u>
C/G Manager	<ol style="list-style-type: none"> 1) Receives request to issue contract/amendment; 2) Obtains approval through proper channels before the request is assigned to a staff member; 3) Forwards request to C/G Supervisor
C/G Supervisor	<ol style="list-style-type: none"> 1) Assigns the request to the C/G Reviewer
C/G Reviewer	<ol style="list-style-type: none"> 1) Reviews the request for completeness; 2) Establishes contract records in contracts database (Contract Screen, Program Screen, Events Screen); 3) Collects additional information from the contractor or person requesting the contract; 4) Copies Program Specialists and Regional Managers on the requests for additional information; 5) Submits budget to Accounting Director for cost reimbursement contracts; 6) Requests/collects additional budget information for Accounting Director; 7) Routes additional budget information to Accounting Director.

Accounting Director	1) Reviews budget for accuracy/completeness; 2) Issues final approval for contract budget; 3) Prepares invoice and saves it to the V:drive.
C/G Reviewer	1) Drafts contract agreement to include the following minimum information: a. Age b. Gender c. Approximate number served d. Type (OYD, non-OYD, or both) e. Region(s) served f. Referral source of youth g. Broad, general statement of service to be provided 2) Submits the package to the C/G Supervisor for review.
C/G Supervisor	1) Reviews package for accuracy, correct format, typos, etc.; 2) Returns package to C/G Reviewer for corrections or forwarding to Legal
C/G Reviewer	1) Makes corrections and returns to C/G Supervisor or forwards package to Legal
Legal	1) Reviews package; 2) Returns package to C/G Reviewer for corrections; or, 3) Forwards package to Budget Manager.
Budget Manager	1) Prepares BA-22 and log sheet; 2) Forwards package to Deputy Undersecretary.
Deputy Undersecretary	1) Reviews package; 2) Returns package to Budget Manager or C/G Reviewer for revisions; or, 3) Signs BA-22 and routes to C/G Reviewer for further processing.
C/G Reviewer	1) Prepares cover letter to contractor 2) Forwards package to contractor for signature.
Administrative Assistant	1) Receives signed contract and any additional information submitted; 2) Date/time stamps back of signature page; 3) Forwards to C/G Manager.

C/G Manager	1)	Updates database and status sheet
	2)	Forwards package to C/G Reviewer
C/G Reviewer	1)	Prepares document for signature of Deputy Secretary or designee;
	2)	Forwards package to Deputy Secretary or designee for signature.
Deputy Secretary or designee	1)	Signs documents;
	2)	Returns signed documents to C/G Reviewer.
C/G Reviewer	1)	Sets up the appropriate records in the ISIS CFMS System (KENT, KDES, KOFY, KACG for contracts; KAMD, KCTX, KOFY AND KCAC for amendments.);
	2)	Determines next phase of processing (fully executed if \$20,000 or less; Civil Service if not exempt; DOA/Office of Contractual Review if exempt from Civil Service);
	3)	Attaches appropriate checklist to package;
	4)	Prepares the appropriate transmittal letters;
	5)	Distributes fully executed package if \$20,000 or less (to contractor, contract monitor and regional manager or director, as appropriate);
	6)	Obtains Civil Service approval, if necessary.
	7)	Forwards package to C/G Supervisor for DOA/OCR approval.
C/G Supervisor	1)	Reviews cover letter and package for correctness and accuracy;
	2)	Returns package to C/G Reviewer for corrections; or,
	3)	Forwards package to C/G Manager for approval.
C/G Manager	1)	Reviews cover letter and package for correctness and accuracy;
	2)	Returns package to C/G Reviewer for corrections; or
	3)	Signs letter and returns package to C/G Reviewer for further processing.
C/G Reviewer	1)	Distributes the package to DOA/OCR.
C/G Manager	1)	Receives approved contract from DOA/OCR;
	2)	Routes contract to C/G Reviewer for further processing.

C/G Reviewer	1)	Sends copy of approved contract to Accounting Director and requests invoice format
Accounting Director	1)	Prepares invoice format
	2)	Sends invoice format to C/G Reviewer.
C/G Reviewer	1)	Attaches checklist to package;
	2)	Prepares fully executed cover letter;
	3)	Completes appropriate items on checklist;
	4)	Distributes the package to the contractor, contract monitor and appropriate regional manager or director;
	5)	Signs off on checklist after ensuring that all items are complete;
	6)	Files contract file in File Room.
		If contract is terminated prior to the expiration date by either party:
C/G Manager or C/G Supervisor	1)	Receives copy of termination letter;
	2)	Confirms final payment with Accounting;
	3)	Terminates records in CFMS;
	4)	Unencumbers any remaining funds in CFMS;
	5)	Sends copy of termination letter and CFMS screens to OCR;
	6)	Updates records in database;
	7)	Ensures contract performance evaluation is sent to the contract monitor.
		Upon expiration/termination of contracts:
C/G Manager or C/G Supervisor	1)	Ensures that performance evaluation is sent to the contract monitor with a deadline for returning the completed form.
Contract Monitor	1)	Completes the performance evaluation in the database;
	2)	Prints and signs the performance evaluation;
	3)	Sends the performance evaluation to the C/G Manager or C/G Supervisor;
C/G Manager or C/G Supervisor	1)	Routes the performance evaluation to the Deputy Secretary or designee for signature.
Deputy Secretary or designee	1)	Signs the performance evaluation;
	2)	Routes the performance evaluation back to the C/G Manager and/or C/G Supervisor.

C/G Manager or C/G Supervisor	1)	Receives the performance evaluation;
	2)	Routes to C/G Reviewer.
C/G Reviewer	1)	If contract is \$20,000 or less:
	a)	Posts to CFMS;
	b)	Closes database records;
	c)	Files folder with expired contracts.
	2)	If contract is \$20,001-\$249,999:
	a)	Sends copy of performance evaluation to OCR;
	b)	Closes database records
	c)	Files folder with expired contracts.
	3)	If contract is over \$250,000:
	a)	Sends copy of performance evaluation to Legislative Auditor.

5.3.1.2 Contracts Requiring a Request For Proposal

Requests for Proposals are required for Consulting Service contracts for \$50,000 or more and for Social Service contracts for \$250,000 or more.

<u>Responsibility</u>	<u>Action</u>
Budget Unit Head	1) Prepares scope of services;
	2) Determines timeframes for project/contract;
	3) Obtains any required approvals;
	4) Submits to Deputy Undersecretary.
Deputy Undersecretary	1) Forwards approved request to C/G Manager; or,
	2) Returns request to Budget Unit Head.
C/G Manager and/or C/G Supervisor	1) Sets up file;
	2) Reviews request and determines if all approvals have been received;
	3) Drafts Request for Proposal (RFP);
	4) Sends RFP to Budget Unit Head and Deputy Undersecretary for review/approval.
Budget Unit Head and Deputy Undersecretary	1) Makes revisions and/or approves RFP;
	2) Returns RFP to C/G Manager for further processing.
C/G Manager or C/G Supervisor	1) Finalizes RFP;
	2) Submits RFP to DOA/OCR for approval;
	3) Makes DOA/OCR revisions to RFP;
	4) Receives approval from DOA/OCR;
	5) Prepares Notice to Proposers for mailing and advertising;

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| | 6) | Publishes advertisements in the official State journal and required local newspaper(s) for statutorily-required time period; |
| | 7) | Posts RFP to LaPAC; |
| | 8) | Forwards RFP to Information Technology Section for posting to the YS website; |
| | 9) | Issues notice of RFP to: a) providers on mailing list maintained by YS for social services; or, b) to providers listed on the DOA/OCR Pre-Qualified Offerers list for consulting services; |
| | 10) | Ensures the following documents are in the RFP file: <ul style="list-style-type: none"> a) Copy of RFP; b) DOA/OCR approval letter; c) Copy of advertisements; d) Copy of LaPAC notification list; e) Copy of mailing labels used for mailing copies of notices; f) Copy of e-mail notification list; g) Correspondence related to the RFP; h) Any Addenda to the RFP that were issued. |
| Administrative Assistant | 1) | Accepts questions pertaining to the RFP; |
| | 2) | Forwards questions pertaining to the RFP to the C/G Manager. |
| C/G Manager and/or C/G Supervisor | 1) | Gathers answers to questions from proposers; |
| | 2) | Prepares responses to questions from proposers; |
| | 3) | Publishes questions and answers as an addendum to the YS website and LaPAC. |
| Administrative Assistant | 1) | Accepts proposals; |
| | 2) | Date/time stamps proposals; |
| | 3) | Posts incoming proposals to spreadsheet; |
| | 4) | Forwards incoming proposals to C/G Manager. |
| C/G Manager and/or Supervisor | 1) | Conducts preliminary review of proposals; |
| | 2) | Requests any necessary additional information from proposer(s); |
| | 3) | Establishes proposal review team; |
| | 4) | Serves as proposal review team member when required; |
| | 5) | Prepares/distributes score sheets; |
| | 6) | Distributes proposals to proposal review team members; |
| | 7) | Collects score sheets from proposal review team; |

- 8) Tabulates scores;
- 9) Prepares score summary;
- 10) Forwards score summary to Deputy Undersecretary;
- 11) Prepares award letter(s) to successful proposer(s);
- 12) Prepares rejection letter(s) to unsuccessful proposer(s);
- 13) Assigns contract to C/G Reviewer for preparation.

5.3.1.3 Leases With Renewal Options

<u>Responsibility</u>	<u>Action</u>
C/G Manager and/or C/G Supervisor	<ol style="list-style-type: none"> 1) Notifies Regional Managers of impending lease expiration dates approximately one (1) year in advance of the expiration date. This notification will include the following: <ol style="list-style-type: none"> a) Date lease is due to expire; b) Availability of renewal option; c) Request for recommendation of action (proceed with renewal, seek space elsewhere, etc.); d) Request for list of any unsatisfactory conditions which need to be addressed by the Lessor prior to lease renewal; e) Request for list of current employees with their job titles; 2) Updates database records throughout process..
Regional Manager	<ol style="list-style-type: none"> 1) Provides the following information to the C/G Manager or C/G Supervisor: <ol style="list-style-type: none"> a) Recommendation regarding whether or not to exercise the renewal option; b) List of unsatisfactory conditions with their building/ area that needs to be corrected, if applicable, prior to renewing their lease c) List of current employees with their job titles if lease is to be renewed. List should include any vacant, funded positions as well as volunteer and/or student workers and interns.
C/G Manager and/or C/G Supervisor	<ol style="list-style-type: none"> 1) Reviews the list of unsatisfactory conditions and determines which items are the responsibility of the lessor; 2) Prepares a letter to the lessor for the signature of the Deputy Secretary or designee advising of the intent to renew the lease and requesting corrective action

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| | | for the unsatisfactory conditions that are within the scope of the lease; |
| | 3) | Forwards a copy of the letter to the Regional Manager, Deputy Assistant Secretary and Facility Planning and Control. |
| Regional Manager | 1) | Advises Contracts/Grants Manager and/or Supervisor of progress or lack of progress of corrective actions. |
| C/G Manager and/or C/G Supervisor | 1) | Works with Regional Manager, lessor and Facility Planning and Control to resolve issues with corrective actions; |
| | 2) | Obtains signature of the Deputy Secretary or designee on the Extract of Option forms; |
| | 3) | Forwards the signed Extract of Option forms and the current list of positions to Facility Planning and Control with request that they proceed with exercising the option to renew the lease; |
| | 4) | Upon receipt of fully executed option renewal documents from Facility Planning and Control, distributes copies to the Regional Manager and Deputy Assistant Secretary; |
| | 5) | Establishes lease record in CFMS. |

5.3.1.4 Leases Under 5,000 Square Feet

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| C/G Manager and/or C/G Supervisor | 1) Notifies Regional Managers of impending lease expiration dates approximately one (1) year in advance of the expiration date. This notification will include the following: <ul style="list-style-type: none"> a) Date lease is due to expire; b) RL-2A Form for completion; c) Copy of State Space Standards by Facility Planning and Control; d) Instructions to obtain three (3) written lease quotes from three (3) different potential rental spaces within their region. (This can include their current lessor if they wish to remain at their current location.); e) Instructions to complete the RL-2A form describing the selected property; f) Instructions to obtain a floor plan of the selected property; g) Deadline for submittal of these documents to Central Office; |

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| | 2) | Establishes and updates database records throughout process. |
| Regional Manager | 1) | Seeks out three (3) possible rental locations within their region and obtains written rental quotes from the lessors. This must be completed even if they wish to remain in their current location, and a written quote will be required of their current lessor as one of the three (3) required quotes. The written quotes should indicate the quoted rental rate, length of term they are willing to lease space and date space will be available for occupancy; |
| | 2) | Obtains a set of 1/ 4" or 1/8" scale floor plans of the selected space from the lessor; |
| | 3) | Completes the RL-2A form describing the space selected and listing ALL positions within the region; |
| | 4) | Prepares justification letter explaining the selection of the requested site; |
| | 5) | Provides the above to the Central Office C/G Manager on or before the stipulated deadline. |
| C/G Manager and/or C/G Supervisor | 1) | Reviews the packet for: <ul style="list-style-type: none"> a) Inclusion of all required documents; b) Accurate completion of RL-2A form; c) Conformance with the space standards established by Facility Planning and Control; d) Reasonableness of rental rate for the area; e) Suitability of site justification. |
| | 2) | Forwards the RL-2A form to the IT Director for review/approval of the telecommunications language; |
| | 3) | Forwards the RL-2A form to the Deputy Undersecretary for approval of the rental rate; |
| | 4) | Obtains the signature of the Deputy Secretary or designee on the RL-2A form; |
| | 5) | Forwards the packet to Facility Planning and Control for issuance of a new lease; |
| | 6) | Acts as liaison between Facility Planning and Control and Regional Manager; |
| | 7) | If relocating or expanding, notifies Procurement Director so that phone line installation/relocation can be ordered; |
| | 8) | Obtains the signature of the Deputy Secretary or designee on the lease documents when they are received from Facility Planning and Control; |

	9)	Returns signed lease documents to Facility Planning and Control;
	10)	Upon receipt of fully executed lease documents from Facility Planning and Control, distributes copies to the Regional Manager and Deputy Assistant Secretary;
	11)	Establishes lease record in CFMS;
	12)	Ensures asbestos certification and Fire Marshal approvals are received prior to office relocating. Notifies Regional Manager when documents are received.
Regional Manager	1)	Advises C/G Manager and/or C/G Supervisor of actual relocation date.
C/G Manager and/or C/G Supervisor	1)	Notifies Facility Planning and Control, Accounting and Deputy Assistant Secretary of actual date of relocation;
	2)	If required, Facility Planning and Control will issue an amendment to the lease to change the beginning date to the actual date of occupancy and change the ending date accordingly. C/G Manager and/or C/G Supervisor obtains the signature of the Deputy Secretary on the amendment;
	3)	Forwards the signed amendment to Facility Planning and Control;
	4)	Upon receipt of fully executed amendment from Facility Planning and Control, distributes copies to the Regional Manager and Deputy Assistant Secretary;
	5)	Establishes amendment record in CFMS.

5.3.1.5 Leases Over 5,000 Square Feet

<u>Responsibility</u>	<u>Action</u>
C/G Manager and/or C/G Supervisor	1) Notifies Regional Managers of impending lease expiration dates approximately one (1) year in advance of the expiration date. This notification will include the following: <ol style="list-style-type: none"> Date lease is due to expire; RL-2 B Form for completion; Copy of State Space Standards by Facility Planning and Control; Instructions to complete and return the RL-2B form; Deadline for submittal of these documents to Central Office.

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| Regional Manager | 1) | Completes the RL-2B form with assistance from the Central Office Contracts Management Section; |
| | 2) | Returns the completed, signed RL-2B form to the Central Office Contracts Management Section on or before the stipulated deadline. |
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| C/G Manager and/or
C/G Supervisor | 1) | Reviews the RL-2B form for conformance with the State Space Standards provided by Facility Planning and Control; |
| | 2) | Consults with the Regional Manager to accurately complete the form and correct any discrepancies; |
| | 3) | Forwards RL-2B to Deputy Undersecretary for completion of budget section; |
| | 4) | Forwards RL-2B to IT Director for approval of the telecommunications requirements; |
| | 5) | Obtains signature of Deputy Secretary or designee on the RL-2B; |
| | 6) | Forwards the RL-2B to Facility Planning and Control for preparation of bid specifications; |
| | 7) | Acts as liaison between Facility Planning and Control; |
| | 8) | Reviews bid specifications from Facility Planning and Control and compares to the RL-2B for accuracy; |
| | 9) | Forwards the bid specifications to the Regional Manager for review/comment/approval. |
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| Regional Manager | 1) | Provides answers/comments/approval of the bid specifications to the C/G Manager and/or C/G Supervisor. |
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| C/G Manager and/or
C/G Supervisor | 1) | Forwards bid results to Deputy Undersecretary for budgetary approval; |
| | 2) | Forwards bid results to Regional Manager for review of low bid space and recommendations, giving a deadline for submitting recommendations. |
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| Regional Manager | 1) | Makes arrangements to view the space and/or floor plans offered by the low bidder within the stipulated timeframe; |
| | 2) | Determines if the space and/or floor plans appear to conform to the bid specifications; |

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| | 3) | Provides a written recommendation to the C/G Manager and/or C/G Supervisor on or before the stipulated deadline. |
| C/G Manager and/or C/G Supervisor | 1) | Provides recommendation of acceptance of low bid to Facility Planning and Control or provides explanation as to why the low bid is not acceptable and requests that the package be re-bid; |
| | 2) | Forwards final proposed floor plans to Regional Manager for review/revision/approval with stipulated deadline for submittal of recommendations. |
| Regional Manager | 1) | Reviews the proposed floor plans and suggests revisions or approves them as drawn; |
| | 2) | Works directly with prospective lessor to resolve necessary changes to the plans; |
| | 3) | Submits recommendations to C/G Manager and/or Supervisor. |
| C/G Manager and/or C/G Supervisor | 1) | Forwards recommendations to Facility Planning and Control; |
| | 2) | Once final floor plans are received, forwards copies to Regional Manager and IT Director; |
| | 3) | Upon receipt of lease documents, obtains signature of Deputy Secretary or designee; |
| | 4) | Returns signed lease documents to Facility Planning and Control; |
| | 5) | Upon receipt of fully executed lease from Facility Planning and Control, distributes copies to the Regional Manager and Deputy Assistant Secretary; |
| | 6) | Establishes lease record in CFMS; |
| | 7) | Ensures that asbestos certification and fire marshal reports are received prior to occupancy by the regional office. |
| Regional Manager | 1) | Keeps C/G Manager and/or C/G Supervisor apprised of the status of new construction/renovations of new space; |
| | 2) | Advises C/G Manager and/or C/G Supervisor of date of actual occupancy of new space. |
| C/G Manager and/or C/G Supervisor | 1) | Notifies Facility Planning and Control of date of actual occupancy of new space; |
| | 2) | If required, Facility Planning and Control will issue an amendment to the lease to change the beginning date to the actual date of occupancy and change the ending date accordingly. C/G Manager and/or C/G |

- Supervisor obtains signature of the Deputy Secretary on the amendment;
- 3) Forwards the signed amendment to Facility Planning and Control;
 - 4) Upon receipt of fully executed amendment from Facility Planning and Control, distributes copies to the Regional Manager and Deputy Assistant Secretary;
 - 5) Establishes amendment record in CFMS.